

Appendix G: DRPT SSO SSPP Review Checklist



Conformance Checklist for Review and Approval of SYSTEM SAFETY PROGRAM PLANS (SSPP)					
REVIEWER: _____					DATE: _____
#	CHECKLIST ITEM	PLAN REQUIREMENTS Does the PLAN contain or provide for the following:	INCLUDED Yes — No	PAGE REF.	COMMENTS
1.	Policy Statement	<ul style="list-style-type: none"> <li>Is a policy statement for the System Safety Program Plan (SSPP) developed?</li> <li>Does the policy statement describe the authority that establishes the system safety program plan?</li> <li>Is the policy statement signed and endorsed by the rail transit agency's chief executive?</li> </ul>			
2.	Purpose, Goals and Objectives	<ul style="list-style-type: none"> <li>Is the purpose of the SSPP defined?</li> <li>Are goals identified to ensure that the SSPP fulfills its purpose?</li> <li>Are objectives identified to monitor and assess the achievement of goals?</li> <li>Is stated management responsibilities for the safety program that ensures goals and objectives are achieved identified?</li> </ul>			
3.	Management Structure	<ul style="list-style-type: none"> <li>Is an overview of the management structure of the RTA provided, including an organizational chart?</li> <li>Does the overview clearly define and include:                             <ul style="list-style-type: none"> <li>History and scope of service.</li> <li>Physical characteristics.</li> <li>Operations and Maintenance.</li> </ul> </li> <li>Is a description of how the safety function is integrated into the rest of the rail transit organization provided?</li> <li>Is clear identification of the lines of authority used by the RTA to manage safety issues provided?</li> </ul>			
4.	Plan Review and Modification	<ul style="list-style-type: none"> <li>Is an annual assessment of whether the SSPP should be updated specified?</li> <li>Is the process used to control changes to the SSPP described?</li> <li>Are specific departments and persons responsible for</li> </ul>			

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		initiating, developing, approving, and issuing changes to the SSPP identified? • Is the required coordination with the DRPT (SSO) regarding plan modification, including timeframes for submission, revision, and approval, addressed?			
5.	Plan Implementation	• Is a description of specific activities required to implement the SSPP included? • Are tasks to be performed by the rail transit safety function, by position and management accountability, identified and described? • Is a description of methodologies used by the system safety function to achieve their safety responsibilities provided? • Are safety-related tasks to be performed by other rail transit departments, by position and management accountability identified and described? • Is a task matrix (or an equivalent narrative description) that shows all identified safety responsibilities, interfaces among all rail transit units responsible for each task, and the key reports or actions provided?			
6.	Hazard Management Process	• Is the process to implement the hazard management program including the role of the oversight agency in providing on-going communication described? • Does the hazard management process include activities for hazard identification, hazard investigation, evaluation, and analysis, hazard control and elimination, and hazard tracking? • Are requirements for on-going reporting to the DRPT (SSO) relating to hazard management activities and status			

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		specified?			
7.	Safety Certification Process	<ul style="list-style-type: none"> <li>Is the pre-revenue safety certification process to ensure safety concerns and hazards are adequately addressed prior to the initiation of passenger operations for New Starts or modification projects described?</li> </ul>			
8.	System Modifications	<ul style="list-style-type: none"> <li>Is the process to ensure safety concerns are addressed in modifications to existing systems, vehicles, and equipment, which do not require formal safety certification, but which may have safety impacts described?</li> </ul>			
9.	Safety Data Acquisition	<ul style="list-style-type: none"> <li>Is the process to collect, maintain, analyze, and distribute safety data clearly defined?</li> <li>Is the management process for ensuring the safety function within the rail transit organization receives the necessary information to support implementation of the system safety program clarified?</li> </ul>			
10.	Incident Notification, Investigation, and Reporting	<ul style="list-style-type: none"> <li>Is the process used by the RTA to perform accident notification, investigation, and reporting described?</li> <li>Are the criteria for determining what accidents or incidents require investigation and who is responsible to conduct specific investigations listed?</li> <li>Is a description of the procedures for performing investigations including proper documentation and reporting of findings, conclusions reached, use of hazard resolution</li> </ul>			



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		processes to develop corrective action recommendations, and follow-up to verify corrective action implementation provided? <ul style="list-style-type: none"> <li>• Are notification thresholds for internal departments/functions defined?</li> <li>• Is the Criteria specified for notifying external agencies (NTSB, SOA) of accidents and incidents?</li> <li>• Are procedures for documenting and reporting on accident investigations established?</li> <li>• Is the process used to develop, implement, and track corrective actions that address investigation findings specified?</li> <li>• Is coordination with the DRPT (SSO) specified?</li> </ul>			
11.	Emergency Management Program	<ul style="list-style-type: none"> <li>• Are the RTA's emergency planning responsibilities and requirements identified?</li> <li>• Is a description of the processes used by the RTA to develop an approved coordinated schedule for emergency management program activities provided?</li> <li>• Are required meetings with external agencies regarding the emergency management program specified?</li> <li>• Is the process used to evaluate emergency preparedness, such as annual emergency field exercises documented?</li> <li>• Are After Action Reports (AAR) and implementation of findings required?</li> <li>• Is the process for revision and distribution of emergency response procedures explained?</li> <li>• Are the RTA's responsibilities for providing employee training identified?</li> </ul>			



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		<ul style="list-style-type: none"> <li>Are the RTA's responsibilities for providing familiarization training to local public safety organizations identified?</li> </ul>			
12.	Internal Safety Audit Program (ISAP)	<ul style="list-style-type: none"> <li>Is a description of the process used by the RTA to ensure planned and scheduled internal safety audits are performed to evaluate compliance with the SSPP provided?</li> <li>Is there an identification of departments and functions subject to audit?</li> <li>Are auditors independent from the first line of supervision responsible for auditing activity?</li> <li>Has a three-year audit schedule been developed, reviewed, maintained, and updated to ensure that all 21 SSPP elements are reviewed during the audit cycle?</li> <li>Is the process for conducting audits including the development of checklists, procedures for conducting audits, and issuing of findings described?</li> <li>Does the SSPP describe the requirement of an annual audit report that summarizes the results of individual audits performed during the previous year?</li> <li>Does the annual audit report include the status of required corrective action items?</li> <li>Is the report submitted to the DRPT (SSO) for review and approval?</li> <li>Is the process for resolving problems and disagreements, report distribution, and follow-up on corrective action procedures described?</li> <li>Is the ISAP process and ISAP reporting coordinated with the DRPT (SSO)?</li> <li>Is the ISAP process comprehensive?</li> </ul>			

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13.	Rules Compliance	<ul style="list-style-type: none"> <li>• Are operating and maintenance rules and procedures that affect safety identified?</li> <li>• Are operating and maintenance rules and procedures that affect safety reviewed for effectiveness and determinations made regarding updating?</li> <li>• Is the process for developing, maintaining, and ensuring compliance with operating and maintenance rules and procedures described?</li> <li>• Are the techniques used to assess the implementation of operating and maintenance rules and procedures by employees such as performance testing and compliance checks described?</li> <li>• Are techniques used to assess the effectiveness of supervision relating to the implementation of operating and maintenance rules described?</li> <li>• Is the process for documenting results and incorporating them into the hazard management program described?</li> </ul>			
14.	Facilities and Equipment Inspections	<ul style="list-style-type: none"> <li>• Are the facilities and equipment that are subject to regular safety related inspection and testing identified?</li> <li>• Is a description provided of how safety-related equipment and facilities are included in a regular inspection and testing program?</li> <li>• Are written checklists used for conducting facility inspections?</li> <li>• Are descriptions of how identified hazardous conditions are entered into the Hazard Resolution Process provided?</li> </ul>			
15.	Maintenance Audit and Inspection	<ul style="list-style-type: none"> <li>• Is a list of systems and facilities subject to a maintenance program provided, that includes established maintenance</li> </ul>			

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	Program	cycles and required documentation of maintenance performed for each item? • Are the processes for tracking and resolving problems identified during inspections described? • Is the use of a written checklist for conducting maintenance audits required?			
16.	Training and Certification Program	• Are the employee and contractor training/ certification programs described? • Are the categories of safety-related work requiring training and certification identified? • Are employee and contractor training/ certification programs for safety-related positions described? • Is the training/ certification program for contractors described? • Is the process to maintain and access employee and contractor training records described? • Is the process to assess compliance with training/ certification requirements described?			
17.	Configuration Management Process	• Is the configuration management control process described? • Are appropriate references made to other RTA documents governing this process? • Is the process for making changes described? • Is the authority to make configuration changes described? • Are assurances for formal notification of all involved departments provided?			
18.	Compliance with Local, State and Federal Safety	• Is a description of the safety program for employees and contractors that incorporate the applicable local, state, and federal requirements provided?			

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	Requirements	<ul style="list-style-type: none"> <li>Are safety requirements that employees and contractors must follow when working on or in close proximity to rail transit agency controlled property identified?</li> <li>Are the processes for ensuring the employees and contractors know and follow the requirements described?</li> </ul>			
19.	Hazardous Materials Program	<ul style="list-style-type: none"> <li>Is a description of the hazardous materials program, including the process used to ensure knowledge of and compliance with program requirements provided?</li> </ul>			
20.	Drug and Alcohol Program	<ul style="list-style-type: none"> <li>Are the drug and alcohol program and the process used to ensure knowledge of and compliance with program requirements described?</li> </ul>			
21.	Procurement	<ul style="list-style-type: none"> <li>Are the measures, controls, and assurances in place to ensure that safety principles, requirements, and representatives are included in the RTA procurement process described?</li> </ul>			